

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE O F F I C E	ATTY. DOCKET NO. CF/36	APPLICATION NO. 10/015,739
INFORMATION DISCLOSURE STATEMENT BY APPLICANTS		APPLICANTS Mark Colaio	CONFIRMATION NO. 8873
APR 26 2002 P A T E N T O F F I C E S C R I P T		FILING DATE December 12, 2001	GROUP 2123

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
KWC	3,581,077	05/25/71	Damewood et al.	235	184	
KWC	4,412,287	10/25/83	Braddock, III	364	408	
KWC	4,588,192	05/13/86	Laborde	273	240	
	4,674,044	06/16/87	Kalmus et al.	364	408	
	5,077,665	12/31/91	Silverman et al.	364	408	
	5,102,143	04/07/92	Winkelmann	273	240	
	5,270,922	12/14/93	Higgins	364	408	
	5,297,032	03/22/94	Trojan et al.	364	408	
	5,689,651	11/18/97	Lozman	395	237	
	5,774,880	06/30/98	Ginsberg	705	36	
	5,809,483	09/15/98	Broka et al.	705	37	
	5,857,176	01/05/99	Ginsberg	705	36	
	5,915,209	06/22/99	Lawrence	455	31.2	
	5,934,674	08/10/99	Bukowsky	273	278	
	5,950,176	09/07/99	Keiser et al.	705	37	
	6,029,146	02/22/00	Hawkins et al.	705	35	
KWC	6,322,076	11/27/01	Fikki	273	278	

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FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER Kathleen M. Chudnow

DATE CONSIDERED

as of 20/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
EXAMINER INITIAL			
<i>Kmc</i>	Isaac, M. et al., "Price Controls and the Behavior of Auction Markets: An Experimental Examination," American Economic Review, vol. 71, pp. 448-459 (June 1981).		
	Forsythe, R. et al., "Asset Valuation in an Experimental Market," Econometrica, vol. 50, pp. 537-567 (May 1982).		
	Plott, C. et al., "Efficiency of Experimental Security Markets with Insider Information: An Application of Rational Expectations Models," Journal of Political Economy, vol. 90, pp. 663-698 (August 1982).		
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	Plott, C., "Rational Choice in Experimental Markets." Journal of Business, vol. 59, pp. S301-S327 (October 1986).		
	Landis, K., "Multi-Talented System Opens Windows for Trader's World," Wall Street Computer Review, pp.86-93 (April 1988).		
	Matthew, J., "OTC Success Spurs Specialized Trading Systems," Wall Street Computer Review, pp. 28-38 (September 1989).		
	Leinweber, D., "Knowledge-Based systems for Financial Applications," IEEE Expert, vol. 3, pp.18-30 (Fall 1998).		
	Nöth, M. et al., "Information Aggregation in Experimental Asset Markets: Traps and Misaligned Beliefs," Social Science Working Paper No. 1060. Pasadena: California Institute of Technology (April 1999).		
<i>Kmc</i>	Bossaerts, P. et al., "Basic Principles of Asset Pricing Theory: Evidence from Large-scale Experimental Financial Markets," Social Science Working Paper No. 1070. Pasadena: California Institute of Technology (February 2000).		

EXAMINER

Kathleen M. Chuchran

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05/20/04

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